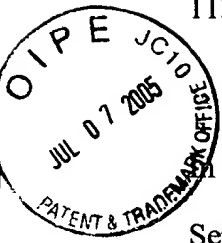


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1762 / \$  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of: Smalley, et al.  
Serial No.: 09/935,493  
Filing Date: August 23, 2001  
Art Unit: 1762  
Title: *Polymer-Wrapped Single Wall Carbon Nanotubes*

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37**  
**C.F.R. § 1.97(b)**

Applicant hereby submits the following references in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98; copies of the references cited in the attached PTO/SB/08A and PTO/SB/08B are enclosed for the examiner's reference. Furthermore, pursuant to 37 C.F.R. § 1.97(g) and (h), no representation is made that this is material to patentability of the present application or that a search has been made.

Applicant hereby submits that claims of Applicant's referenced patent application are patentably distinguishable from these references.

Applicant has enclosed the required filing fee of \$180.00. Applicant does not believe any other fees are due at this time; however, the Director of Patents and Trademarks is hereby authorized to charge any fees relating to this Third Supplemental Information Disclosure Statement under 37 CFR § 1.17 to Deposit Account No 23-2426 of WINSTEAD SECHREST & MINICK P.C. (referencing matter 11321-P034US).

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Date:

6/29/05

Respectfully submitted,

A handwritten signature in black ink, appearing to read "RSG", written over a horizontal line.

Ross Spencer Garsson  
Regis. No. 38,150

WINSTEAD SECHREST & MINICK P.C.  
P.O. Box 50784  
Dallas, Texas 75201-0784  
Phone: (512) 370-2870  
Fax: (214) 745-5390

**CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that the attached *Third Supplemental Information Disclosure Statement* and cited art are being deposited with the USPS as first class mail, with sufficient postage, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this the 30<sup>th</sup> day of June, 2005.

Date

6/30/05

Signature

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791048v.1 11321/P034US

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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**Complete if Known**

Application Number	09/935,493
Filing Date	August 23, 2001
First Named Inventor	Smalley, et al.
Art Unit	1762
Examiner Name	Elena Tsoy
Attorney Docket Number	11321-P034US

Sheet	1	of	5
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## U. S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

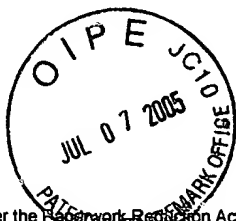
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	5	EP 0 949 199 A1	10/13/1999	Davey, et al.		
	6	WO 00/17102	03/30/2000	Smalley, et al.		
	7	WO 00/17101	03/30/2000	Margrave, et al.		
	8	WO 00/26138	05/11/2000	Smalley, et al.		
	9	WO 98/39250	09/11/1998	Smalley, et al.		

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		Application Number	09/935,493		
		Filing Date	August 23, 2001		
		First Named Inventor	Smalley, et al.		
		Art Unit	1762		
		Examiner Name	Elena Tsoy		
Sheet	2	of	5	Attorney Docket Number	11321-P034US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
	10	Ajayan et al., "Growth morphologies during cobalt catalyzed single-shell carbon nanotube synthesis," 215 Chem. Phys. Lett. (1993), pp. 509-517		
	11	Ausman, et al., "Organic solvent dispersions of single-walled carbon nanotubes: toward solutions of pristine nanotubes", 104 J. Phys. Chem. B (2000), pp. 8911-8915		
	12	Bethune et al., "Cobalt catalyzed growth of carbon nanotubes with single atomic layer walls," 63 Nature (1993), pp. 605-607		
	13	Boul, et al., "Reversible sidewall functionalization of buckytubes", 310 Chem. Phys. Lett. (1999), pp. 367-372		
	14	Chen, J. et al., "Solution properties of single-walled carbon nanotubes", 282 Science (1998), pp. 95-98		
	15	Dresselhaus, G. et al., Science of Fullerenes and Carbon Nanotubes, Chap. 19 (1996), pp. 756-760		
	16	Ebbesen et al., "Large-scale synthesis of carbon nanotubes," 358 Nature (July 16, 1992), pp. 220-222		
	17	Ebbesen et al., "Carbon nanotubes," 24 Annual Review of Materials Science (1994), pp. 235-264		
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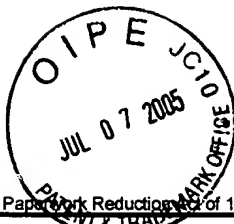
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		Art Unit	1762		
		Examiner Name	Elena Tsoy		
Sheet	3	of	5	Attorney Docket Number	11321-P034US

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	20	Hone, et al., "Electrical and thermal transport properties of magnetically aligned single wall carbon nanotube films", 77 Appl. Phys. Lett. (2000), pp. 666-668	
	21	Iijima et al., "Helical microtubules of graphitic carbon," 354 Nature (November 7, 1991), pp. 56-58	
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	26	Lee et al., "Observation of magnetic-field-modulated energy gap in carbon nanotubes", 115 Solid State Communications (2000), pp. 467-471	
	27	Liu, et al., "Controlled deposition of individual single-walled carbon nanotubes on chemically functionalized templates", 303 Chem. Phys. Lett. (1999), pp. 125-129	
	28	Nikolaev, et al., "Gas-phase catalytic growth of single-walled carbon nanotubes from carbon monoxide", 313 Chem. Phys. Lett. (1999), pp. 91-97	

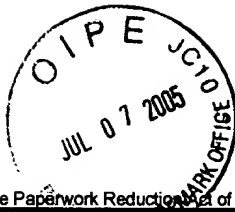
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Application Number	09/935,493
Filing Date	August 23, 2001
First Named Inventor	Smalley, et al.
Art Unit	1762
Examiner Name	Elena Tsoy
Attorney Docket Number	11321-P034US

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	29	Odom et al, "Structure and electronic properties of carbon nanotubes", 104 J. Phys. Chem B (2000), pp.2794-2809	
	30	Rinzler, et al., "Large-scale purification of single-wall carbon nanotubes: process, product and characterization," 67 Applied Physics A 1998), pp. 29-37	
	31	Saito et al., "Carbon nanocapsules encaging metals and carbides," 54 J. Phys. Chem. Solids (1993), pp. 1849-1860	
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	33	Seraphin et al., "Single-walled tubes and encapsulation of nanocrystals into carbon clusters," 142 Electrochem. Soc. (1995), pp. 290-296	
	34	Slepyan et al., "Electronic and electromagnetic properties of nanotubes", 57 Phys. Rev. B (1998), pp. 9485-9497	
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	36	Tans, et al., "Individual single-wall carbon nanotubes as quantum wires", 386 Nature (1997), pp. 474-477	
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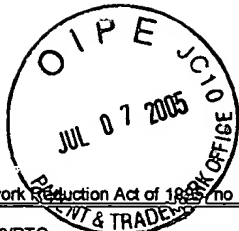
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Filing Date	August 23, 2001
First Named Inventor	Smalley, et al.
Art Unit	1762
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Attorney Docket Number	11321-P034US

Sheet 5 of 5

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	38	Yakobson and Smalley, "Fullerene Nanotubes: C1,000,000 and beyond", 85 Am. Sci. (1997), pp. 324-337	
	39	Zhou et al., "Single-walled carbon nanotubes growing radially from YC2 particles," 65 Appl. Phys. Lett. (1994) pp.1593-1595	
	40	Woo, et al., "Hole blocking in carbon nanotube...", 77 Appl. Phys. Lett. 9 (August 2000), pp. 1293-1295	
	41	Kumar, et al. "Synthesis Structure and Properties of PBO/SWNT Composites", Macromolecules 2002, 35, 9039-43	
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	46	Ding, et al., "Direct observation of polymer sheathing in carbon nanotube-polycarbonate composites", 3 Nano Lett. 11 (August 2003), pp. 1593-1597	
	47	Sreekumar, et al. "Polyacrylonitrile SWCN...." 16 Adv. Mat. 2004 1 (2004), pp. 58-61	

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